DOCUMENT RESUME

ED 344 563 HE 025 479

TITLE	State University of New York: Faculty Utilization. Are Faculty Workloads Reasonable and Cost Effective?
INSTITUTION	New York State Office of the Comptroller, Albany.
REPORT NO	NYSOC-90-S-89
PUB DATE	3 Apr 91
NOTE	62p.
PUB TYPE	Reports - Research/Technical (143) -- Reports - Evaluative/Feasibility (142)
EDRS PRICE	MF01/PC03 Plus Postage.
DESCRIPTORS	*College Faculty; *Cost Effectiveness; Costs; *Educational Finance; Expenditure per Student; Faculty College Relationship; *Faculty Workload; Higher Education; *Institutional Evaluation; Instructional Student Costs; Productivity; Salary Wage Differentials
IDENTIFIERS	*State University of New York

ABSTRACT

A study was done of State University of New York (SUNY) faculty workloads in relation to administration efforts to deploy faculty in efficient and effective ways. Also evaluated were methods for ensuring that faculty are productive and minimum class enrollments. The study was conducted in accordance with generally accepted government auditing standards and focused specifically on procedures for overseeing faculty activities, monitoring faculty deployment, and monitoring class size. The audit found that administration had not taken appropriate action to determine whether faculty members were preforming efficiently, that many SUNY campuses lacked formal courseload standards, and did ont require their faculty to complete annual performance plans and accomplishment summaries. In addition, as compared to a nationally prescribed course load standard of 9 to 12 hours in the classroom per week, in the Fall 1988 semester, 22 percent of SUNY's full-time faculty spent fewer than nine hours a week in the classroom. Examination of student/teacher ratios found wide variance from campus to campus and that these variances were neither monitored nor evaluated by SUNY Central Administration. In addition, most campuses were found to have no formal minimum enrollment standards. Tables and figures illustrate the report. An appendix contains the comments of SUNY officials who disagreed with the observations. (JB)

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State of New York
Office of the State Comptroller
Division of Management Audit

STATE UNIVERSITY OF NEW YORK

FACULTY UTILIZATION

ARE FACULTY WORKLOADS REASONABLE AND COST EFFECTIVE?

U.S. DEPARTMENT OF EDUCATION
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Office of the State Comptroller

Division of Management Audit

Report 90-S-89

The Honorable D. Bruce Johnstone
Chancellor
State University of New York
State University Plaza
Albany, NY 12246

Dear Chancellor Johnstone:

The following is our report on the State University of New York's faculty utilization.

The audit was performed pursuant to the State Comptroller's authority as set forth in Section 1, Article V of the State Constitution and Section 8, Article 2 of the State Finance Law.

Office of the State Comptroller
Division of Management Audit

April 3, 1991

Executive Summary

State University Of New York – Faculty Utilization: Are Faculty Workloads Reasonable and Cost Effective?

Scope of Audit

The State University of New York (SUNY) is the largest multi-campus university in the nation, with 34 campuses located throughout the State. For the 1989-90 academic year, SUNY's operating budget was $2.6 billion, of which more than $460 million was allocated to salaries for the equivalent of about 9,700 full-time faculty members. College faculty generally divide their time between teaching activities (i.e., classroom preparation and instruction) and non-teaching activities (i.e., research and administration). Our audit addressed the following questions about faculty utilization and productivity.

- How do SUNY officials ensure that faculty are deployed in an efficient and effective manner?
- How effective are SUNY's procedures for ensuring faculty are reasonably productive?
- How do SUNY officials determine whether scheduled classes have sufficient enrollment to justify the cost?

Audit Observations and Conclusions

We found that SUNY Central Administration officials and campus administrators have not taken appropriate action to determine whether faculty members are performing efficiently.

We found that many SUNY campuses lack formal courseload standards and do not require their faculty to complete annual performance plans and accomplishment summaries. As a result, SUNY campus officials generally are unable to hold their faculty accountable for how they spend their time. We found that, on average, SUNY faculty teaching workload generally equals or exceeds workload patterns and standards nationally. However, we also found indications that many SUNY faculty members appear to not meet established norms for minimum time teaching, and that their non-teaching activities are not sufficient to justify their comparatively light courseloads.

For example, according to courseload standards prescribed by a national education organization or required by other public university systems, college faculty should spend between 9 and 12 hours a week in the classroom. We determined that, during the Fall 1988 semester (which was the most recent data available), 22 percent of SUNY's full-time faculty spent fewer than nine hours a week in the classroom, including 10 percent who spent six or fewer hours in the classroom. At some campuses, faculty spent even less time teaching. For example, at Albany, 51 percent of the full-time faculty spent fewer than nine hours a week in the classroom, including 15 percent who spent six or fewer hours in class.

Some faculty with light courseloads may perform sufficient non-teaching activities to justify their light courseloads. We therefore examined the non-teaching activities for a sample of 36 faculty at Plattsburgh, Cortland and Buffalo who had light courseloads during the Fall 1988 semester. For 15 of these faculty (i.e., 42 percent), there was little or no evidence that they had performed any research, administrative duties or other sanctioned non-teaching activities during the 1988-89 academic year.

Student/faculty ratios are widely used by college administrators to monitor how faculty are deployed. Small ratios indicate small classes and a higher cost per student, while large ratios indicate large classes and a lower cost per student. We compared the student/faculty ratios at different SUNY campuses and found that the ratios often varied widely. For example, during the Fall 1988 semester, the student/faculty ratios for physical science and engineering classes ranged from 23.8 at Oswego College to only 6.9 at Old Westbury College. Moreover, we found that variances in these ratios are neither monitored nor evaluated by SUNY Central Administration to determine whether they are justified.

Some major public universities have established minimum enrollment standards to ensure that each class scheduled has a sufficient enrollment to justify the costs incurred in providing the instruction. We found that most SUNY campuses do not have formal minimum enrollment standards. Our analysis of class size at various campuses revealed many classes with very small enrollments. For example, during the Fall 1988 semester, 13 percent of all lower division undergraduate lectures provided by SUNY campuses had fewer than 15 students. In comparison, only 7 percent of the lower division undergraduate lectures provided by Colorado State University during that semester had fewer than 15 students. The extent of small classes on SUNY campuses, especially when considered in conjunction with the many light faculty courseloads we identified, further indicates that some faculty may not have been deployed as productively as possible.

Comments of SUNY Officials

SUNY officials disagree with many of our observations and some recommendations (see Appendix A).

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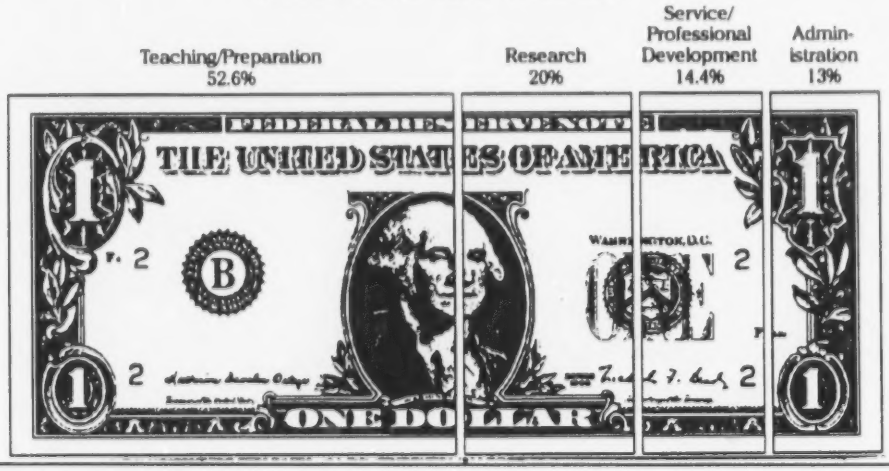
Introduction

Background

The State University of New York (SUNY) is the largest multi-campus university in the nation, with 34 campuses located throughout the State. These 34 campuses consist of university centers (which provide a full range of undergraduate and graduate studies, as well as considerable research activities), arts and sciences colleges, specialized colleges, agricultural and technical colleges, and independent health science centers. For the 1989-90 academic year, SUNY had an enrollment of about 160,000 full-time equivalent (FTE) students, a staff of 25,600 FTE employees, and an annual operating budget of about $2.6 billion. About 9,700 of SUNY's 25,600 FTE employees are faculty, whose primary responsibilities include teaching activities, classroom preparation, instruction and evaluation, research and other service to SUNY or the surrounding communities. The annual personal service costs for the faculty exceed $460 million, excluding fringe benefits.

In 1988, the United States Department of Education conducted a nationwide survey of college faculty to address the nature of their workload. The survey indicated that, depending on the type of institution (i.e., research, doctoral, comprehensive, or two-year college), faculty spent on average 43 to 71 percent of their time on classroom obligations. The balance, or 29 to 57 percent of faculty time, was spent on non-instructional obligations such as research, administration and service. Service activities could include work with student organizations, volunteer community work, and activities related to professional development such as attending seminars. If the activities of SUNY faculty are consistent with the nationwide percentages for the various types of colleges, we estimate that SUNY's personal service costs for faculty would be distributed as follows:

Allocation of Total Workload



SUNY officials point out that effective teaching requires a certain amount of research, administration and service/professional development.

Within SUNY Central Administration, management established the Office of Institutional Research and Planning (IRP) to collect, maintain, analyze and disseminate data and reports on all aspects of SUNY operations. To carry out its function, IRP developed a variety of automated systems to capture data about SUNY operations. For example, IRP relies on the Course and Section Analysis (CASA) system to provide statistical data on instructional workloads at 29 campuses (Empire State College, the College of Optometry, the Cornell College of Veterinary Medicine, and the two independent medical centers are not included in the CASA system because of their unusual curricula or non-traditional teaching methods). The CASA system, which includes data such as faculty and department workloads expressed in FTE students and student-faculty ratios, can provide about 40 standard analytical reports which can be used for management decision-making and monitoring purposes.

IRP also participates in the coordination of SUNY's annual planning and budgeting process, as information generated by IRP is used for resource allocation purposes by SUNY Central Administration. SUNY Central Administration, however, does not allocate faculty positions to each constituent campus. Rather, SUNY Central Administration allocates a total number of FTE staff and a total funding amount to each campus, based primarily upon the prior years' funding amounts.

Audit Scope, Objectives and Methodology

We audited SUNY practices related to the utilization of faculty for the two years ended March 31, 1990. Our audit was a performance audit that focused on SUNY procedures for overseeing faculty activities, monitoring faculty deployment, and monitoring class size.

The primary objective of our performance audit was to determine whether SUNY Central Administration and campus administrators have taken appropriate measures to ensure that the faculty are used efficiently. To accomplish our objective, we review applicable policies, standards and union agreements, and interviewed appropriate management and staff at SUNY Central Administration, selected campuses and other university systems. In addition, we also reviewed information published by authoritative sources about faculty utilization. We verified the accuracy and analyzed the data generated by SUNY's CASA system and reviewed faculty activity files and other pertinent records at SUNY Central Administration and six selected campuses (the university centers at Albany and Stony Brook, and the colleges at Buffalo, Cortland, Fredonia and Plattsburgh). In total, we visited or interviewed officials at 23 campuses.

We conducted our audit in accordance with generally accepted government auditing standards. Such standards require that we plan and perform our audit to adequately assess those operations of SUNY which are included within our audit scope. Further, these standards require that

we review SUNY's system of internal controls and its compliance with those laws, rules and regulations that are relevant to the SUNY operations which are included in our audit scope. An audit includes examining, on a test basis, evidence supporting transactions recorded in the accounting and operating records and applying such other auditing procedures as we consider necessary in the circumstances. An audit also includes assessing the estimates, judgments, and decisions made by management. We believe that our audit provides a reasonable basis for our findings, conclusions and recommendations.

Internal Control Summary

Our study and evaluation of the system of internal controls identified material weaknesses in SUNY's procedures for overseeing faculty activities, monitoring faculty deployment, and monitoring class size. These weaknesses are further described in Sections of this report entitled "Controls Over Faculty Activities Must Be Strengthened," "SUNY Central Administration Needs To Address Possible Inefficiencies In Faculty Deployment" and "Stronger Controls Are Needed To Minimize Underenrolled Classes." In addition, we noted certain other matters involving the system of internal controls that should be addressed by SUNY. These matters are presented in the Section entitled "Inaccuracies In Courseload Data Must Be Corrected."

Comments of SUNY Officials

A draft copy of this report was provided to SUNY officials for their review and comment. Their comments have been considered in preparing this report and are included as Appendix A.

Within 90 days after final release of this report, as required by Section 170 of the Executive Law, the Chancellor of the State University of New York shall report to the Governor, the State Comptroller, and the leaders of the Legislature and fiscal committees, advising what steps were taken to implement the recommendations contained herein, and where recommendations were not implemented, the reasons therefor.

Controls Over Faculty Activities Must Be Strengthened

College costs have risen sharply during the last decade. For example, SUNY's annual operating budget more than doubled during the 1980s. Our review of selected publications relating to university management indicates that universities need to become more conscious of cost-effectiveness and accountability. For example, Richard Miller in Evaluating Faculty Performance (1972) notes, "Taxpayers, trustees, and donors have a right to expect more efficient management of institutions of higher education than is present in many instances, and severe economic conditions demand it. . . . Accountability is a basic consideration in effective management and an important area of application is faculty performance." Miller concludes that ". . . universities need to take the initiative in developing evaluative procedures for measuring accountability before legislative aides do the job for them."

We therefore question whether some SUNY faculty spend enough time in the classroom and whether SUNY has established adequate accountability over the faculty's non-instructional activities.

SUNY has addressed faculty accountability to some extent, as the CASA system was developed to monitor faculty courseloads, However, a majority of the SUNY campuses we contacted lack formal courseload standards for faculty. According to courseload standards prescribed by the American Association of University Professors (AAUP), an organization which represents faculty in many other university systems, or required by other public university systems, a significant number of SUNY's full-time faculty do not provide enough classroom instruction. In addition, several campuses do not require faculty to formally plan their non-instructional activities or periodically report the accomplishments of those activities. We therefore question whether some SUNY faculty spend enough time in the classroom and whether SUNY has established adequate accountability over the faculty's non-instructional activities.

Formal Workload Standards Should Be Developed

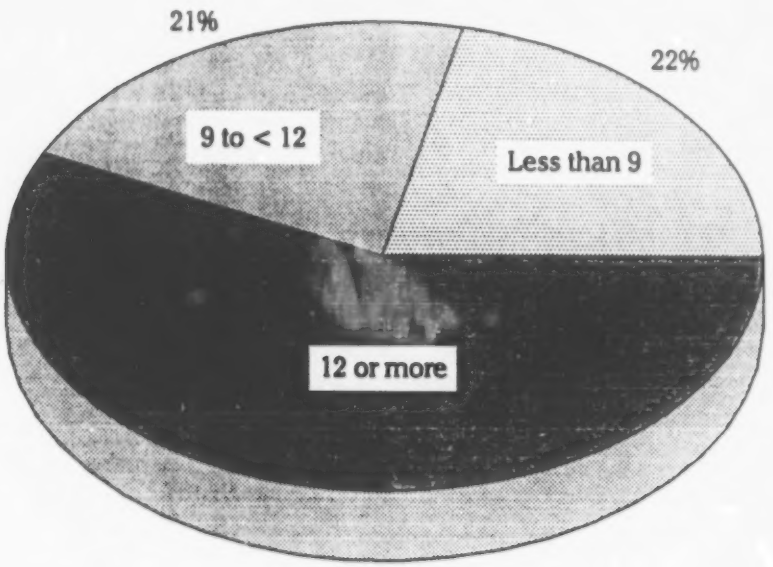
A 1984 publication by the American Council on Education, (Chairing the Academic Department by Allen Tucker) states, "Effective faculty assignments require . . . workload policies." A SUNY campus official told us that a formal workload policy not only codifies and clarifies the policy which department chairpersons must execute, but it also legitimizes the authority of chairpersons to assign faculty appropriate courseloads.

We found that SUNY has no formal systemwide courseload policy, and only 10 of the 23 SUNY campuses we contacted have formal courseload policies. Administrators at the other 13 campuses claim they rely upon informal courseload standards which may be developed at the department level. We believe that in the absence of formal courseload standards, faculty may not be deployed appropriately.

When we compared SUNY faculty courseloads to courseload standards developed by AAUP and other university systems, we noted that many faculty have lighter than recommended courseloads. For example, AAUP recommends a courseload of between 9 and 12 classroom hours per week, the California State University System recommends the equivalent of 12 classroom hours per week, and the Florida State University requires at least 12 classroom hours per week. (Adjustments to individual teaching loads are permitted by California and Florida for faculty who have extraordinary research, service or administrative responsibilities.) The courseload standards at the ten SUNY campuses with formal courseload policies are generally consistent with the AAUP standards.

According to CASA reports, the courseloads for full-time SUNY faculty during the Fall 1988 semester (most recent data available) were as follows:

Full-Time Faculty Workload
Contact Hours



- Contact hours are the number of hours in a week that a faculty member meets with classes in a formal instructional environment or in a credit-bearing tutorial session.

- Does not include part-time faculty and faculty on leave.

A total of 22 percent of SUNY's faculty were assigned teaching loads below the bottom of the AAUP's recommended range (nine classroom hours per week) and 43 percent of the faculty taught fewer contact hours than recommended by California and Florida (12 classroom hours per week). As shown by Exhibit A, light courseloads were more common

at the four university centers, where 42 percent of the faculty spent fewer than nine hours a week in the classroom and 61 percent spent fewer than 12 hours a week in the classroom. At the Albany campus, 51 percent of the faculty spent fewer than nine hours a week in the classroom. Although courseloads were generally heavier at the colleges, where less research is conducted, lighter courseloads were found at several colleges. For example, while 39 percent of the faculty of the 12 arts and science colleges on the CASA system spent fewer than 12 hours a week in the classroom, 51 percent of the faculty at Buffalo College spent fewer than 12 hours a week in the classroom. In addition, at five of the six agricultural and technical colleges less than 3 percent of the faculty spent fewer than nine hours a week in the classroom, in contrast, 12 percent of the faculty at Farmingdale College spent fewer than nine hours a week in the classroom.

These statistics suggest that some campus administrators have elected to permit large numbers of faculty to spend their time on activities other than teaching...

These statistics suggest that some campus administrators have elected to permit large numbers of faculty to spend their time on activities other than teaching, regardless of any courseload standards that may have been in effect at their campuses. To ensure that faculty are deployed productively, we recommend that formal courseload standards be developed for each campus and that exceptions to the standards be formally approved by the appropriate campus administrators.

This section is not intended to infer that all faculty with courseloads below the standards are not productive. Rather its purpose is to indicate that, if the primary mission of the SUNY system is to provide a college level education to its clientele, teaching resources could be more efficiently used by reducing activities other than teaching and increasing teaching responsibilities.

Recommendation

1. Each campus should develop a formal courseload policy which includes the number of weekly contact hours of instruction full-time faculty are generally expected to provide per semester. The policies should include provisions for exceptions and require the formal approval of the appropriate campus administrators for each exception.

Non-Teaching Activities Should Be Monitored More Closely

Better Accountability Should Be Established Over Non-Teaching Activities

The American Council on Education's publication Chairing the Academic Department recommends that the duties of faculty members be assigned in writing prior to each academic year in the form of a performance plan. The use of a formal performance plan provides data which supports the judgment of the department chairperson in managing depart-

ment resources, helps ensure that workloads are distributed equitably among faculty, and helps ensure that faculty are not denied promotion, tenure, or discretionary merit pay because of failure to perform tasks which were not explicitly assigned. To provide accountability over activities each faculty member should submit a summary of performance plan accomplishments at the end of the academic year.

We found that only 5 of the 23 campuses contacted require faculty to formally plan these activities for the academic year. For example, prior to each semester the College at Oswego requires chairpersons and deans to approve forms summarizing the planned activities of all their faculty. The remaining 18 campuses do not require such a plan.

We also found that 14 of the 23 campuses do require an annual summary of accomplishments. However, our visit to one of these campuses (the College at Fredonia) indicated that this requirement was not always enforced. (We did not visit the other 13 campuses.) The nine campuses which do not require summary reports also do not require annual performance plans. These nine campuses generally indicated that voluntary summary reporting was encouraged. However, as noted by Richard Miller in Evaluating Faculty Performance, "Any voluntary system may well miss those units and individuals who most need to improve."

The lack of accountability is particularly troublesome regarding faculty with light courseloads, because these faculty may be wasting public money by virtue of inefficient utilization.

The absence of required performance plans or annual accomplishment summaries at many campuses indicates that non-teaching activities appear not to be adequately controlled at many SUNY campuses. Moreover there is a serious question whether these activities can be adequately controlled at the nine campuses which require neither performance plans nor accomplishment summaries. The lack of accountability is particularly troublesome regarding faculty with light courseloads, because these faculty may be wasting public money by virtue of inefficient utilization.

Some Faculty May Need To Be Assigned Additional Duties

In order to determine whether faculty with light courseloads performed enough non-teaching activities to justify their light courseloads, we selected a judgmental sample of 36 full-time faculty who provided nine or fewer weekly contact hours of instruction for the Fall 1988 semester and reviewed documentation in the faculty activity files which supported their non-teaching activities for the 1988-89 academic year. Our sample was drawn from faculty at the colleges at Plattsburgh, Cortland and Buffalo, none of which require annual performance plans or accomplishment summaries. We determined that the non-teaching activities of 21 of the faculty may have justified their light courseloads. However, there was little or no evidence that the remaining 15 faculty had performed any research, administrative or service activities during the year. For seven of these faculty, the activity files contained little evidence of non-teaching activities; for eight of the faculty, activity files were not main-

tained at all.

For example, the activity files of two full professors at Plattsburgh contained no summaries or any other documentation of scholarly accomplishment for the 1988-89 academic year. One professor's file was last updated in the Spring of 1988 (almost two years prior to our review). The other professor's file had not been updated since the 1985-86 academic year (four years prior to our review). The department chairman confirmed that neither professor had performed any significant research, administrative activities or service activities during the 1988-89 academic year. The chairman added that one of the professors was not motivated and had not complied with a request to prepare a progress report on a book the professor claimed he was writing. The other professor claimed to have completed research for publications during the 1985-86 academic year, but had not published the research during the following four years.

Although both professors had little research, administrative or service responsibilities, their instructional loads were comparatively light. The two professors were each assigned nine contact hours per semester during the 1988-89 academic year. In comparison, other faculty in the same department provided between 14 and 20 weekly contact hours each, and had research, administrative and service activities as well. The College's workload policy permits department chairmen to assign additional courseloads to faculty with little or no research, administrative and service activities, but the chairman chose not to assign additional courses to the two professors despite their long-term records of being underproductive.

The activity files for two faculty members at Cortland also indicated little non-teaching activity. Both faculty taught nine weekly contact hours during the Fall 1988 semester. One file contained two course evaluations by students as well as documentation supporting a 1981 tenure decision. The other file contained three course evaluations and documentation supporting a 1985 promotion. There was no documentation of scholarly activities for these two faculty since their promotions.

For the eight faculty whose activity files were not maintained we questioned the appropriate department chairpersons about their activities. While some of the chairpersons claimed that the faculty performed research or service activities during the 1988-89 academic year, they could provide no documentation to support these claims. One chairman acknowledged that two of the faculty, who were in his department had performed no research or service activities, but claimed the light courseloads were justified because they were each assigned large enrollment survey courses to teach. One faculty taught two sections of the same course with enrollments of about 60 students each, while the other taught two sections of the same course with enrollments of about 200 students each. However, we identified other faculty with classes just as large who teach nine or more contact hours a semester and who are also involved in research, service and administrative activities. Conse-

quently, it appears these two faculty were not fully productive.

Recommendations

2. Each full-time faculty member should prepare an annual performance plan which addresses research, administrative and service activities, as well as instructional responsibilities, for the academic year. Campus administrators should closely review the performance plans of faculty with courseloads below standards.

3. Each full-time faculty member should prepare an annual summary of accomplishments which correspond to the activities contained in the performance plan.

4. Department chairpersons should review and approve performance plans at the beginning of the academic year and activity reports at the end of the academic year.

5. Ensure that the campuses maintain activity files for all full-time faculty.

6. Campuses administration should routinely determine whether additional classes should be assigned to faculty whose courseload and research, administrative and service activities appear underproductive.

SUNY Central Administration Needs To Address Possible Inefficiencies in Faculty Deployment

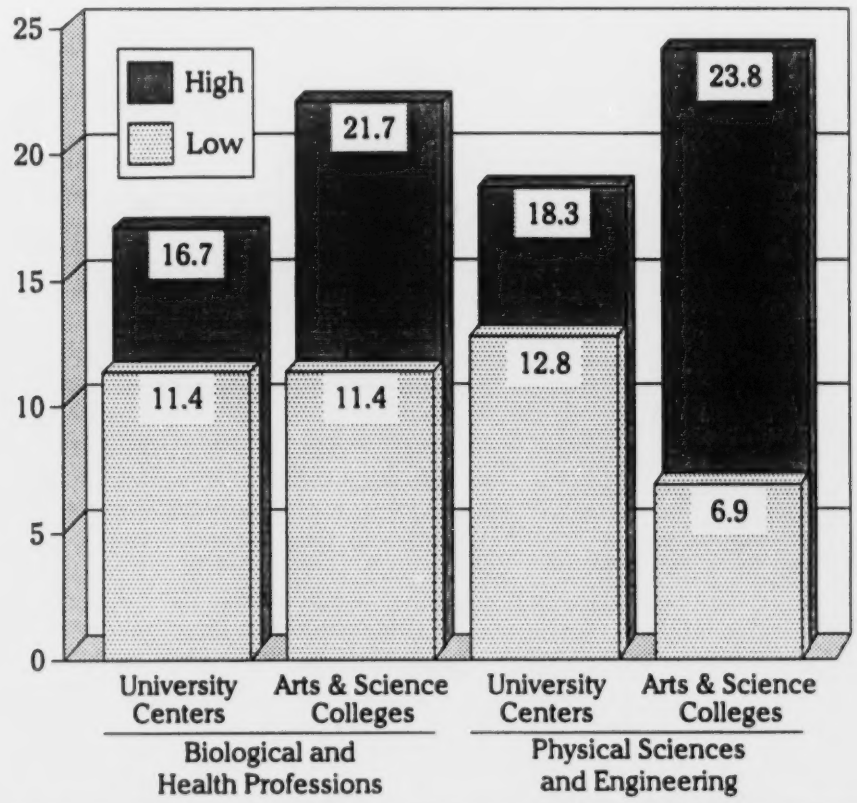
...large variances in teaching workloads exist in the SUNY system, and these variances have not been identified and evaluated by SUNY Central Administration...

In our prior report on faculty utilization (AL-ST-30-81, which was issued in March 1982), we recommended that SUNY Central Administration analyze teaching workloads to identify variances which should be evaluated to ensure maximum faculty productivity at all campuses. In the eight years since that report, SUNY Central Administration has not fully addressed that recommendation. SUNY Central Administration has developed the CASA system, which analyzes teaching workloads. In addition, faculty resources were shifted at some campuses to meet changes in student interests. However, as indicated by our analysis of student/faculty ratios at different SUNY campuses, large variances in teaching workloads exist in the SUNY system, and these variances have not been identified and evaluated by SUNY Central Administration to determine whether they are justified.

While we recognize there are sufficient reasons for large variances, we also recognize that large variances can be indicative of costly operating inefficiencies. In order to provide assurance that such variances reflect educational goals and benefits intended by campus management, we expected to see evidence that these variances have been identified and formally evaluated by SUNY Central Administration. We saw no such evidence. The absence of this evaluation linked to the existence of the variances, rather than the variances themselves leads us to question the efficiency of SUNY's faculty deployment as well as the effectiveness of SUNY Central Administration's oversight.

We compared the student/faculty ratios of the university centers, arts and science colleges and agricultural/technical colleges, by discipline, for the Fall 1988 semester. We did not include the specialized colleges in this comparison, because the unique nature of these colleges makes comparison inappropriate. We found that the ratios were generally consistent within each discipline for the agricultural/technical colleges. However, as shown by the following graph, the ratios often varied widely within disciplines at the university centers and the arts and science colleges (see Exhibit B for more details).

Ranges of Student-Faculty Ratios



As depicted, the student/faculty ratios for the discipline of biological sciences and health professions ranged from 11.4 at Binghamton to 16.7 at Albany (a difference of 46 percent) for the university centers, and from 11.4 at Plattsburgh to 21.7 at Purchase (a difference of 82%) for the arts and science colleges. In the discipline of physical sciences and engineering the student/faculty ratios for the arts and science colleges ranged from 6.9 at Old Westbury to 23.8 at Oswego, a difference of 245 percent. A variance as small as 12 percent can be very significant. For example, if Albany University's student/faculty ratio for business and management courses, which was 25.8 to 1 for the Fall 1988 semester, had been similar to Binghamton's, which was 28.8, Albany would have needed nearly five fewer FTE faculty positions. The cost of five FTE positions at Albany for the Fall 1988 semester was about $223,000.

The courses offered at SUNY campuses are divided into four levels of instruction: lower division undergraduate (less specialized courses) upper division undergraduate (more specialized courses), beginning graduate and advanced graduate. In order to determine whether the wide variances in student/faculty ratios that we identified within the disciplines were restricted to a particular level of instruction, we analyzed

the ratios within each discipline according to the different levels of instruction. We found that the variances existed in all levels of instruction but the advanced graduate level, which is not offered by many campuses and accounts for a small percentage of the courses offered by the other campuses.

Exhibit C shows our analysis by level of instruction for the discipline of biological sciences and health professions. For example, the student/faculty ratios for lower division courses in this discipline ranged from 35.4 at Binghamton to 57.4 at Buffalo (a difference of 62 percent) at the university centers, and from 18.6 at Oneonta to 57.8 at Purchase (a difference of 211 percent) at the arts and science colleges. Exhibit C also shows that there are wide variations in student/faculty ratios for upper division courses at arts and sciences colleges.

The degree of variation in student/faculty ratios indicated by our analysis leads us to conclude that some academic departments in the SUNY system may be significantly overstaffed while other departments may be understaffed.

The degree of variation in student/faculty ratios indicated by our analysis leads us to conclude that some academic departments in the SUNY system may be significantly overstaffed while other departments may be understaffed. Overstaffed departments represent an inefficient use of public funds and understaffed departments may represent an ineffective use of public funds, as the quality of instruction in these departments could suffer on account of excessively large classes or overworked faculty.

We tried to quantify the extent to which SUNY's academic departments may be overstaffed or understaffed. Using information provided by CASA reports, we determined the median student/faculty ratios of the university centers and the arts and science colleges according to discipline and level of instruction. (The median is the midpoint of a data set.) The CASA reports show that these ratios have remained consistent over the past five years. We then compared the number of FTE faculty actually in place to the number that would have been in place if the median student/faculty ratio were applied. For example, if 100 FTE students were enrolled in upper division psychology courses at a particular university center and if the median student/faculty ratio for all upper division psychology courses at all university centers were 10 to 1, we compared the number of FTE faculty actually teaching upper division psychology courses at the university center (for example, 15) to the number that would have been teaching if the median ratio applied $100 \div 10 = 10$. In this example, the difference between the actual staffing level and the median staffing level was five FTE faculty.

The variances we identified between the actual staffing levels and the median staffing levels were in many instances dramatic. For example, the College at Oneonta allocated 53 FTE faculty to the discipline of education (all levels of instruction), when 40 FTE faculty would have been allocated to Education if the median student/faculty ratios applied. We estimate the annual personal service cost for the variance of 13 FTE faculty to be $560,000, excluding fringe benefits. Although we don't recommend the elimination of positions we have found that $560,000 may have

been used inefficiently. (The College at Plattsburgh, which had a similar number of students enrolled in Education courses, allocated only 37 FTE faculty to these courses - 16 fewer than Oneonta.) On the other hand, Oneonta allocated only 12 FTE faculty to the discipline of business and management, when 17 would have been allocated if the median student/faculty ratios applied.

The quality of instruction tends to be impaired when departments are understaffed, and public funds are poorly spent when departments are overstaffed.

Our analysis of 141 disciplines at the four university centers and 12 arts and science colleges indicated that 23 disciplines were short five or more faculty when compared with the median student/faculty ratios, while 22 disciplines exceeded the median ratios by five faculty or more. The variances ranged from 4 to 82 percent of the staffing levels consistent with the median student/faculty ratios. While possible overstaffing may approximately equal possible understaffing on an overall level, the two problems are not offsetting. The quality of instruction tends to be impaired when departments are understaffed, and public funds are poorly spent when departments are overstaffed.

According to the Associate Vice Chancellor for IRP, SUNY Central Administration ensures effective and efficient deployment of faculty through its budget allocation process, which is based to some extent on standard student/faculty ratios that are developed by SUNY Central Administration. However, these standard student/faculty ratios are used only to allocate an overall staffing level for each campus. Because SUNY Central Administration believes that campus administrators must be free to allocate resources according to their own priorities, the student/faculty ratios of individual disciplines often vary significantly from their corresponding standards. Since SUNY Central Administration is concerned only with the overall staffing level at each campus, variances at the discipline level are not monitored. As a result, the budget allocation process provides very little assurance that faculty are deployed efficiently within academic departments at the campuses.

SUNY is confronted with many hard choices in determining how limited resources will be allocated among the campuses. SUNY officials, however, claim that SUNY will "not only endure these austere times, but . . . emerge as a stronger, more focused enterprise. . . if the challenge that those choices present is fully met." They add that "meeting the challenge will demand that the Trustees, the Chancellor and his staff, and the campuses carefully examine the mission of the system and each of its components to preserve or enhance areas of strength, and to prune selectively operations that are outmoded or duplicative." Without a more assertive effort by SUNY Central Administration to identify and address the possible operational inefficiencies indicated by our analysis of student/faculty ratios, we question whether SUNY can meet this challenge.

Recommendation

7. Use CASA data to analyze and compare the student faculty ratios of the various disciplines among the campuses. Determine whether unusually low or high student/faculty ratios are justified and take action to correct the ratios when they are not justified.

Stronger Controls Are Needed To Minimize Underenrolled Classes

Many factors must be considered by college administrators when planning which courses, and how many sections of each course, are to be offered to students each semester. These factors include educational need, scheduling logistics and class size. Consideration must be given to class size to ensure that limited and costly faculty resources are used productively.

Some major public universities have established formal minimum enrollment standards, generally by type of instruction (i.e., lecture, seminar or lab), to ensure that each course section scheduled has a sufficient enrollment to justify the costs incurred in providing the instruction. For example, campuses within the California State University system have established minimum class sizes of 13 to 15 for lower division lectures, 10 to 12 for upper division lectures, and 5 to 8 for graduate lectures. The Colorado State University has established minimum class sizes of 15 for lower division lectures, 10 for upper division lectures, and 5 for all graduate courses. At the University of Washington, several departments have established their own formal class size standards.

The American Council on Education's publication Chairing the Academic Department concludes that courses with patterns of low enrollment should undergo stringent scrutiny. Consideration should be given either to reducing the frequency with which such courses are offered or to eliminating such courses altogether. The result of class size reviews could indicate that faculty are not being used efficiently and that some faculty positions should be reallocated.

Our analysis of class sizes at the campuses revealed many classes with small enrollments, which may indicate inefficient faculty utilization.

We found that most SUNY campuses do not have formal minimum enrollment standards. Our analysis of class sizes at the campuses revealed many classes with small enrollments, which may indicate inefficient faculty utilization. We recommend that SUNY Central Administration and the campuses monitor small enrollments more closely to determine whether course offerings should be cut and/or faculty positions be reallocated.

Formal Minimum Class Size Standards Should be Developed

We found that SUNY has no systemwide policy governing minimum class size. Only 3 of the 23 campuses we contacted indicated that they had a formal policy governing minimum class size. Most of the remaining campuses informed us that they had general, informal minimum class size standards. However, we believe such loose standards provide inadequate assurance that faculty are deployed productively. Our analysis of CASA reports for the Fall 1988 semester indicates that SUNY campuses

offered more than 2,500 graduate and undergraduate lecture sections with low enrollments, as follows:

- As indicated by Exhibit D, 13 percent (1,329 of 10,243) of the lower division lectures offered during that semester had enrollments of 14 or fewer students. For campuses with 100 or more lower division lectures, the percentage of such lectures with enrollments of 14 or fewer students ranged from 5.5 percent at Geneseo to 24.3 percent at Morrisville. In comparison, only 7 percent of the lower division lectures provided by Colorado State University for the Fall 1988 semester had 14 or fewer students. (The enrollment data we received from California was not broken down by level of instruction.)

- As indicated by Exhibit E, 13.6 percent (933 of 6,862) of the upper division lectures offered during that semester had enrollments of nine or fewer students. For campuses with 100 or more upper division lectures, the percentage of such lectures with enrollments of nine or fewer students ranged from 5.6 percent at Buffalo Center to 27.7 percent at the statutory colleges at Cornell. In comparison, only 11.9 percent of the upper division lectures provided by Colorado State University for the Fall 1988 semester had nine or fewer students.

- As indicated by Exhibit F, 11.6 percent (324 of 2,802) of the graduate lectures offered during that semester had enrollments of four or fewer students. For campuses with 75 or more graduate lectures, the percentage of such lectures with enrollments of four or fewer students ranged from .8 percent at Buffalo College to 29.3 percent at the College of Environmental Science and Forestry. In comparison, only 10.5 percent of the graduate lectures provided by Colorado State University for the Fall 1988 semester had four or fewer students.

In total, 13 percent of the graduate and undergraduate lecture sections provided by SUNY campuses during the Fall 1988 semester had low enrollments. In contrast, the rate of low enrolled lectures at Colorado State for the same semester was 9.8 percent, and at California State it was only 6.6 percent - about half the rate for SUNY.

Our comparison of small class sizes at SUNY, Colorado State University and California State University leads us to conclude that a formal class size policy can facilitate administrators' efforts to minimize underenrolled sections, and thereby foster a more efficient use of faculty resources. We do not, however, advocate making classes as large as possible without regard for pedagogic effectiveness. For example, we determined that 560 (5.5 percent) of the 10,234 lower division lectures provided by SUNY during the Fall 1988 semester had enrollments of more than 100 students. At the university centers, 325 (14.4 percent) of the 2,256 lower division lectures had more than 100 students. It is possible that some of the resources devoted to low enrolled sections could be used to reduce the number of very large sections.

Recommendations

8. Require each campus to develop formal minimum class size standards, taking into account the discipline, the level of instruction, and other pertinent pedagogical factors.

9. Require each campus to develop a formal mechanism to evaluate the propriety of offering courses or sections whose enrollments do not meet the minimum enrollment standards. Formal approval should be obtained from the appropriate administrators for each class offered which does not meet the minimum enrollment standard.

10. Monitor small enrollments to determine whether the number of course offerings should be cut or faculty positions should be reallocated. Require the campuses to formally conduct the same type of monitoring.

Procedures for Monitoring Class Size Need To Be Improved

Even though the CASA system produces a series of reports analyzing class size, we found little indication that SUNY Central Administration monitors class size. In order to evaluate procedures for monitoring class size at the campus level, we examined the procedures at the arts and science colleges at Cortland and Plattsburgh. Our examination indicated several weaknesses in the procedures used by these campuses to monitor class size.

The College at Cortland

We identified specific examples in which faculty were deployed inefficiently...

We found that Cortland has neither formal class size standards nor formal procedures for monitoring low enrollments. As a result, many of Cortland's classes had low enrollments. For example, during the Fall 1988 semester, 17.2 percent of Cortland's upper division lectures had nine or fewer students (compared to 11.9 percent at Colorado State University) and 10.1 percent of Cortland's lower division lectures had 14 or fewer students (compared to 7 percent at Colorado). We identified specific examples in which faculty were deployed inefficiently, including payroll costs for part-time faculty that may have been incurred unnecessarily as a result of the inefficient deployment.

We interviewed several department chairpersons, who advised us that they monitored class sizes to limit the number of small classes. However, their monitoring efforts were not documented. Moreover, several chairpersons expressed a reluctance to cancel small classes out of "fairness" to the students. They said that they would not know how low the enrollment would be in a class until after the first week of classes. At this point, they felt, it would be too late to cancel classes without disrupting

the schedules of the students who had already enrolled in the classes.

We believe, however, that the development of a more structured review process would enable college officials to identify at an earlier stage courses that were likely to draw few students, thereby minimizing the number of low-enrollment courses that were scheduled. For example, other SUNY campuses have reports which summarize the enrollments for all courses and course sections over the past three academic years. These course enrollment history reports enable college management to monitor the frequency of course offerings and enrollment histories. At Cortland, however, the most recent course enrollment history report produced was for the Fall 1984 and preceding semesters.

We analyzed the courses and course sections offered by Cortland during the 1988-89 and 1989-90 academic years and found that a number of small sections in the Math/Computer Science Department could have been consolidated. Some of these sections involved lower division courses with enrollments of 14 or fewer students. The following chart illustrates several examples for the 1989-90 academic year.

Course	Semester	Actual Section Enrollments	Possible Consolidated Enrollments
Mat 119	Spring 90	18+11	29
Mat 121	Spring 90	21+13+12	25+21
Mat 122	Fall 89	10+8	18
Mat 122	Spring 90	31+8	39
Mat 125	Spring 90	23+14	37
Mat 126	Spring 90	31+21+13	34+31
Mat 272	Fall 89	24+4	28

These possible consolidations could have reduced the number of sections taught by seven. Using the department chairperson's standard courseload for full-time faculty (four sections per semester), the reduction in seven sections for the year would constitute a courseload reduction of approximately one FTE faculty.

The courseload could have been reduced further if courses with low enrollments were offered every other semester instead of every semester. For example, MAT 446 was offered every semester during the 1988-89 and 1989-90 academic years, with an average enrollment of only 13 students per semester. MCS 364 and MCS 365 were also offered all four semesters with average enrollments of seven and six, respectively. Overall, during these four semesters there were 20 lecture courses in the

Math/Computer Science Department which had sections with ten or fewer students. Of these courses, eight (40 percent) were offered all four semesters. Another two (10 percent) were offered three of the four semesters. Consequently, half of the courses with ten or fewer students were offered more than once yearly.

Because the Department offered so many low-enrollment sections, the faculty may not have been efficiently deployed. Using Fall 1988 CASA data, we determined that Cortland had the second lowest student/faculty ratio in the mathematics and computer science discipline of all of SUNY's arts and science colleges. In addition, we determined that this ratio was 12 percent lower than the median student/faculty ratio for this discipline, a difference which equates to an additional 1.5 FTE faculty. Despite this apparent overstaffing, the Department employed six part-time faculty for the Fall 1988 semester, possibly due to the many low-enrollment sections that were scheduled.

Prior to our audit, Cortland initiated a policy requiring that any class of fewer than ten students be formally approved by the appropriate dean. Because this policy did not become effective until the Fall 1990 semester, we were unable to evaluate its effectiveness in reducing the number of low-enrollment classes. However, we believe that this policy, along with procedures to formally identify and review the need for underenrolled classes, will enable Cortland to utilize its faculty more efficiently.

The College at Plattsburgh

We conclude that the lack of formal class size standards and monitoring procedures contributed to the inefficient use of faculty described here.

The College at Plattsburgh has neither formal class size standards nor formal procedures for monitoring low enrollments. Our evidence shows that as a direct result, many of Plattsburgh's classes had low enrollments. For example, during the Fall 1988 semester, 11.1 percent of Plattsburgh's lower division lectures had 14 or fewer students (compared to 7 percent at Colorado State University) and 14.4 percent of Plattsburgh's upper division lectures had nine or fewer students (compared to 11.9 percent at Colorado). We conclude that the lack of formal class size standards and monitoring procedures contributed to the inefficient use of faculty described here.

We interviewed several department chairpersons, who advised us that class size standards had been established for their departments. However, none of these standards were documented. In addition, although Plattsburgh maintains a current course enrollment history report, campus officials advised us that there was not a formal section-by-section review of this report to justify the continuation of courses with trends of low enrollment or to identify courses which should be canceled in future semesters. Campus officials advised us that the deans and other administrators informally reviewed the report each semester to verify that each low enrollment section offered was genuinely needed or not cost-prohibitive. The officials further stated that underenrolled courses were usu-

ally identified and deleted from the final course offering schedule as a result of pre-registration.

We question the effectiveness of Plattsburgh's informal procedures. For example, we found that 7 (30 percent) of the 23 undergraduate lecture sections offered in biology during the Fall 1988 semester had low enrollments (i.e., lower division lectures had 14 or fewer students and upper division lectures had nine or fewer students). In addition, two of the three biology graduate courses offered that semester had four or fewer students. We asked the chairman of the Biology Department why so many low enrollment classes were offered. The chairman acknowledged that the low enrollments may not have been cost-effective and added that the Department was considering a plan to eliminate certain specialty options within the biology major, which might lead to fewer low enrollment classes. Plattsburgh's Biology Department offers seven distinct specialty options for biology majors. Each option has unique course requirements. During the Fall 1988 semester, the enrollments for three of the options were four or fewer students. The Biology Department offers 17 different courses which are required for at least one of the specialty options. Eight of these courses are required for only one or two of the options. Of the 12 sections of these courses that were offered during the 1988-89 and 1989-90 academic years, seven sections had enrollments of 10 or fewer students.

In contrast, the College at Buffalo with a higher enrollment in Biology than Plattsburgh, had only eight required courses for biology majors. Only 3 (9 percent) of the 34 biology undergraduate lecture sections offered by Buffalo during the Fall 1988 semester were underenrolled.

Because Plattsburgh offered so many low enrollment biology sections, its faculty may not have been utilized in the most efficient manner. Using Fall 1988 CASA data, we determined that Plattsburgh had the lowest student/faculty ratio in biology of any of SUNY's arts and science colleges. Furthermore, this ratio was 32 percent lower than the median student/faculty ratio for biology departments at the arts and science colleges taken as a whole. This difference equates to 4.6 FTE faculty employed in Plattsburgh's Biology Department at an approximate annual cost of $200,000.

Recommendations

To the College at Cortland

11. Resume production of the annual course enrollment history report to identify course sections with patterns of low enrollment.

12. Consider consolidating low enrollment sections of courses offered by the Math/Computer Science Department.

To the College at Plattsburgh

13. Formally assess the need for the seven specialty options within the biology major. Consolidate and eliminate courses where possible.

Inaccuracies in Courseload Data Must Be Corrected

A primary purpose of the CASA system is to generate reports which can be used by SUNY Central Administration and campus administrators to make critical decisions concerning faculty deployment. Accordingly, the accuracy of CASA data is essential if administrators are to make appropriate decisions. We found that reports generated through CASA are accurate with the exception of some reports on faculty productivity and class size as discussed in the following paragraphs.

Overstated Courseload Should Be Corrected

The CASA system generates reports which show faculty courseloads by contact hours and credit hours taught. We determined, however, that the colleges at Cortland and Plattsburgh prepared CASA input data which overstated the courseloads of several faculty.

At Cortland, the chairman of the Psychology Department allowed five faculty to team-teach three sections of two courses during the 1989-90 academic year. Accordingly, two or three faculty were responsible for a single section of each team-taught course for one semester. Although the faculty involved taught the sections for only portions of the semester, the chairman prepared CASA input data which could easily mislead someone reviewing CASA reports to believe that the faculty taught the courses for the entire semester. For example, the CASA reports indicated that one team-teaching faculty taught four complete course sections (12 contact hours) during the Spring 1989 semester. In fact, the faculty actually taught two complete course sections and approximately one-quarter of two team-taught sections during the semester, which more accurately equates to about 7.5 contact hours for the semester. In total, CASA reports indicated that Psychology Department faculty taught ten lecture sections (11 percent of the Department total) more than they actually taught during the 1989-90 academic year. The ten sections equate to a courseload of about 1.5 FTE faculty within the Psychology Department.

At Plattsburgh, six faculty participated in the team-teaching of six sections offered by the Biology Department during the Fall 1988 semester. CASA input data was prepared which suggests that the six faculty taught the six sections for the entire semester, when in fact, they taught the sections for only portions of the semester. For example, three faculty were each credited with three weekly contact hours for teaching portions of one three-credit section. In total, the Biology Department was credited with 13.7 more weekly contact hours of instruction (7 percent of the Department total) than it actually provided. Based on the Department's standard workload of nine hours per semester, the overstatement in courseload corresponds to about 1.5 FTE faculty.

Our review of CASA data for the Fall 1988 semester disclosed that Cortland had the lowest student/faculty ratio in psychology of SUNY's arts and science colleges and Plattsburgh had the lowest student/faculty ratio in biology of the arts and science colleges. The overstated courseloads of individual faculty who team-teach may make it more difficult for campus administrators to accurately assess overall department courseloads.

Recommendation

14. Verify that the courseloads of faculty involved with team teaching are presented accurately in CASA and other management reporting systems.

Class Size Reports Should Be Refined

SUNY Central Administration produces a series of CASA reports analyzing class size. These reports are intended to enable SUNY administrators to identify under and overenrolled classes. The reports can also indicate whether faculty are used productively.

We found that these reports do not accurately account for classes that are sponsored by more than one department (cross-listed) or identified by more than one name (concurrent) and can therefore be taken by students under different titles. This occurs because the class size reports generated were based on title rather than using time, place, and instructor to determine actual class size. At Cortland, for example, an instructor taught an upper division lecture consisting of 13 students who registered for the course under three possible titles. Although the lecture in fact was not underenrolled, the CASA reports indicated three separate underenrolled sections of six, four and three students each.

Our analysis of data for all CASA reporting campuses for the Fall 1988 semester disclosed that SUNY provided 522 fewer lower division lecture classes (10,243 as shown on Exhibit D) than indicated by these CASA reports (which showed 10,765 such classes). In addition, these CASA reports significantly overstated the number and rate of low enrollment classes provided by individual SUNY campuses. For example, according to the inaccurate CASA reports, 83 (16.6 percent) of the 500 lower division lectures provided by Binghamton during the Fall 1988 semester had fewer than 15 students. In fact, as shown on Exhibit D, only 40 (9.1 percent) of the 438 lower division lectures provided by Binghamton in that semester had fewer than 15 students. We found similarly large disparities for the upper division and graduate lectures as well. As a result of these disparities, these CASA reports are misleading for some campuses.

Recommendation

15. Reprogram the CASA reports analyzing class size to accurately account for cross-listed and concurrent courses.

State University of New York
Analysis of Workload By Contact Hour of Full-Time Faculty
Fall 1988 Semester (CASA Reporting Campuses Only)

	Percent of Faculty Teaching the Following Ranges of Contact Hours							
Campus	0 to 3	3.1 to 6	6.1 to 8.9	9	9.1 to 11.9	12	Exceeds 12	Total Faculty
University Centers								
Albany	2.1%	12.5%	36.1%	0.3%	19.4%	0.7%	28.9%	582
Binghamton	1.4%	7.4%	20.3%	1.1%	19.9%	3.2%	46.7%	443
Buffalo Center	4.6%	12.9%	21.9%	1.8%	15.8%	1.3%	41.6%	711
Stony Brook	8.8%	18.3%	17.8%	5.3%	13.1%	3.9%	32.7%	617
Subtotal	4.5%	13.2%	24.1%	2.3%	16.7%	2.2%	37.1%	2,353
Arts & Science Colleges								
Brockport	0.0%	2.4%	9.6%	0.0%	19.8%	1.7%	66.6%	293
Buffalo College	3.2%	7.0%	4.2%	28.9%	7.2%	17.2%	32.3%	402
Cortland	1.8%	4.0%	5.3%	19.0%	13.3%	19.0%	37.6%	226
Fredonia	0.9%	0.9%	2.4%	16.1%	14.2%	17.5%	47.9%	211
Geneseo	0.0%	1.4%	2.9%	1.0%	25.6%	14.5%	54.6%	207
New Paltz	2.0%	7.2%	3.6%	13.5%	16.3%	18.7%	38.6%	251
Old Westbury	0.0%	8.3%	9.4%	2.1%	6.3%	54.2%	19.8%	96
Oneonta	0.0%	2.0%	2.9%	25.9%	10.7%	25.9%	32.7%	205
Oswego	0.7%	1.0%	3.8%	0.3%	24.9%	1.0%	68.2%	289
Plattsburgh	0.0%	3.5%	5.6%	18.2%	20.8%	8.2%	43.7%	231
Potsdam	1.1%	1.6%	1.1%	12.4%	15.6%	15.6%	52.7%	186
Purchase	1.6%	2.5%	10.7%	0.8%	23.0%	1.6%	59.8%	122
Subtotal	1.1%	3.5%	4.8%	12.9%	16.4%	14.3%	46.9%	2,719
Specialized/Statutory Colleges								
Alfred (Ceramics)	0.0%	2.9%	8.6%	2.9%	5.7%	8.6%	71.4%	35
Cornell/Ag-Life Science	22.7%	27.3%	18.2%	9.1%	0.0%	0.0%	22.7%	22
Cornell/Human Ecology	20.0%	40.0%	30.0%	0.0%	0.0%	0.0%	0.0%	10
Cornell/Ind Labor Rel	100.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	2
Env Science/Forestry	4.9%	14.6%	10.7%	1.0%	16.5%	0.0%	52.4%	103
Maritime	2.0%	0.0%	2.0%	9.8%	17.6%	35.3%	35.3%	51
Utica/Rome	0.0%	2.5%	7.6%	0.0%	10.1%	1.3%	78.5%	79
Subtotal	5.0%	9.3%	9.3%	3.0%	11.9%	7.3%	54.3%	302
Ag-Tech Schools								
Alfred	0.0%	1.0%	1.0%	3.1%	2.1%	2.6%	90.3%	195
Canton	0.0%	1.0%	1.0%	5.2%	2.1%	22.9%	67.7%	96
Cobleskill	1.0%	0.0%	0.0%	0.0%	4.1%	2.0%	92.9%	98
Delhi	0.0%	1.9%	0.9%	1.9%	2.8%	3.8%	88.7%	106
Farmingdale	4.4%	5.6%	2.2%	4.8%	3.3%	23.0%	56.7%	270
Morrisville	0.0%	0.0%	0.7%	0.7%	1.5%	8.1%	88.9%	135
Subtotal	1.4%	2.2%	1.2%	3.0%	2.7%	11.8%	77.7%	900
Total	2.6%	7.3%	11.7%	7.0%	14.3%	9.1%	48.0%	6,274

Note: Due to rounding, percentages may not add up to 100 percent.

Exhibit A

State University of New York
Range of Student/Faculty Ratios By Discipline
University Centers and Arts and Science Colleges
Fall 1988 Semester
(Number of FTE Students to One FTE Faculty Member)

	University Centers			Arts & Science Colleges		
Discipline *	Low	High	Percent High is Above Low	Low	High	Percent High is Above Low
Biological Sciences and Health Professions	11.4	16.7	46%	11.4	21.7	90%
Business and Management	25.8	28.8	12%	20.9	41.9	100%
Education	13.7	17.5	28%	13.8	27.8	101%
Fine and Applied Arts	9.2	16.9	84%	9.4	25.0	166%
Foreign Languages and Letters	16.7	20.0	20%	17.4	24.5	41%
Mathematics and Computer Science	15.9	22.0	38%	17.5	40.5	131%
Physical Sciences and Engineering	12.8	18.3	43%	6.9	23.8	245%
Psychology	20.2	28.5	41%	20.7	30.6	48%
Social Sciences	21.0	26.9	28%	22.0	28.6	30%

* In addition to the nine disciplines listed here, SUNY established a tenth discipline called "Other" to account for specialized programs not included in the basic nine disciplines. Because the subject matters composing "Other" may vary significantly from campus to campus, we have not presented student/faculty ratios for "Other" in this comparative analysis.

Exhibit B

State University of New York
Discipline of Biological Sciences and Health Professions
Student/Faculty Ratios By Level of Instruction
University Centers and Arts and Science Colleges
Fall 1988 Semester
(Number of FTE Students to One FTE Faculty Member)

Institution	Lower Division	Upper Division	Beginning Graduate	Advanced Graduate
University Centers	42.49	9.95	10.18	6.57
Albany	38.97	10.79	16.95	7.41
Binghamton	35.37	7.73	6.16	6.92
Buffalo	57.45	14.31	8.20	6.03
Stony Brook	39.82	10.09	7.17	6.53
Arts and Science Colleges	30.05	10.77	9.22	4.07
Brockport	26.92	11.19	12.18	
Buffalo College	29.71	12.11	8.40	
Cortland	38.34	12.44	5.69	
Fredonia	46.51	15.04	9.72	4.07
Geneseo	28.35	11.32	9.67	
New Paltz	45.26	14.07	6.85	
Old Westbury	24.16	5.41		
Oneonta	18.64	7.73	5.00	
Oswego	23.45	13.10		
Plattsburg	21.83	7.87	9.14	
Potsdam	26.61	8.91	15.28	
Purchase	57.82	8.17		

Note: Some Arts and Science colleges do not offer beginning or advanced graduate courses in this discipline.

Exhibit C

State University of New York
Lower Division Lectures With Enrollments of 14 or Fewer Students
Fall 1988 Semester
(CASA Reporting Campuses Only)

Campus (Note 1)	Number of Lower Division Lecture Sections	Number of Sections 14 or Fewer	Percent 14 or Fewer
Albany	546	47	8.6%
Alfred	636	113	17.8%
Binghamton	438	40	9.1%
Brockport	334	25	7.5%
Buffalo Center	744	70	9.4%
Buffalo College	651	42	6.5%
Canton	388	92	23.7%
Ceramics	15	3	20.0%
Cobleskill	449	61	13.6%
Cornell (Note 2)	146	24	16.4%
Cortland	465	47	10.1%
Delhi	498	118	23.7%
Env. Sci. & Forestry	14	0	0.0%
Farmingdale	1,210	93	7.7%
Fredonia	188	25	13.3%
Geneseo	199	11	5.5%
Maritime	108	22	20.4%
Morrisville	535	130	24.3%
New Paltz	264	29	11.0%
Old Westbury	307	51	16.6%
Oneonta	421	67	15.9%
Oswego	286	42	14.7%
Plattsburgh	405	45	11.1%
Potsdam	256	15	5.9%
Purchase	212	36	17.0%
Stony Brook	528	81	15.3%
Totals	10,243	1,329	13.0%

Note 1: Does not include Utica/Rome, because it is a two-year school that does not provide lower division undergraduate courses.

Note 2: Combines data for three statutory colleges at Cornell: Agricultural-Life Sciences; Human Ecology; and Industrial-Labor Relations.

Exhibit D

State University of New York
Upper Division Lectures With Enrollments of Nine or Fewer Students
Fall 1988 Semester
(CASA Reporting Campuses Only)

Campus (Note 1)	Number of Upper Division Lecture Sections	Number of Sections 9 or Fewer	Percent 9 or Fewer
Albany	387	46	11.9%
Alfred	12	1	8.3%
Binghamton	326	35	10.7%
Brockport	330	36	10.9%
Buffalo Center	465	26	5.6%
Buffalo College	553	68	12.3%
Ceramics	26	7	26.9%
Cobleskill	20	10	50.0%
Cornell (Note 2)	238	66	27.7%
Cortland	401	69	17.2%
Env. Sci. & Forestry	89	15	16.9%
Farmingdale	36	3	8.3%
Fredonia	398	46	11.6%
Geneseo	398	38	9.5%
Maritime	97	27	27.8%
New Paltz	371	57	15.4%
Old Westbury	192	34	17.7%
Oneonta	467	106	22.7%
Oswego	676	55	8.1%
Plattsburgh	383	55	14.4%
Potsdam	235	32	13.6%
Purchase	136	29	21.3%
Stony Brook	311	35	11.3%
Utica/Rome	315	37	11.7%
Totals	6,862	933	13.6%

Note 1: Does not include Canton, Delhi and Morrisville, because they are two-year schools that do not provide upper division undergraduate courses.

Note 2: Combines data for three statutory colleges at Cornell: Agricultural-Life Sciences; Human Ecology; and Industrial-Labor Relations.

Exhibit E

State University of New York
Graduate Lectures With Enrollments of Four or Fewer Students
Fall 1988 Semester
(CASA Reporting Campuses Only)

Campus (Note 1)	Number of Graduate Lecture Sections	Number of Sections 4 or Fewer	Percent 4 or Fewer
Albany	525	86	16.4%
Binghamton	311	45	14.5%
Brockport	134	10	7.5%
Buffalo Center	504	29	5.8%
Buffalo College	129	1	0.8%
Ceramics	17	4	23.5%
Cornell (Note 2)	210	42	20.0%
Cortland	125	14	11.2%
Env. Sci. & Forestry	92	27	29.3%
Fredonia	28	1	3.6%
Geneseo	54	0	0.0%
Maritime	9	0	0.0%
New Paltz	116	7	6.0%
Oneonta	44	4	9.1%
Oswego	77	4	5.2%
Plattsburgh	69	8	11.6%
Potsdam	49	5	10.2%
Purchase	12	3	25.0%
Stony Brook	272	29	10.7%
Utica/Rome	25	5	20.0%
Totals	2,802	324	11.6%

Note 1: Some CASA reporting campuses do not provide graduate courses.

Note 2: Combines data for three statutory colleges at Cornell: Agricultural-Life Sciences; Human Ecology; and Industrial-Labor Relations.

Exhibit F

Comments Of SUNY Officials

SUNY officials disagree with many of our observations. However, they state that while they do not agree with all of the recommendations in the audit, the recommendations are generally reasonable and reflect, to a great extent, current SUNY practice.

SUNY officials state that faculty, on average, spend more time in formal instructional settings than the national average. We agree, however, our audit found that many faculty appear to not spend enough time teaching. As illustrated in the report, 22 percent of the faculty teach less than nine contact hours per week. SUNY officials state they are reluctant to establish formal workload standards because it may jeopardize SUNY's collegial relationship with its' faculty. However, some SUNY campuses already have formal workload standards and are still able to maintain a collegial relationship with faculty. Also, SUNY's response indicated that they misconstrued information in the report that addressed student to faculty ratios. The report did not recommend that SUNY Central establish student to faculty ratios but rather should perform its' oversight role by reviewing student to faculty ratios that are outside the norm.

In responding, SUNY highlighted some positive action that was taken because of the audit recommendations. SUNY agreed that some of the audit findings suggest a need for more formal campus policies on faculty utilization and more systematic procedures for ensuring an effective and equitable distribution of faculty responsibilities. Guidelines for developing a faculty utilization policy were issued to each campus in early February 1991.

The full text of SUNY's official response to our draft audit report, as well as our detailed notes of clarification, are included on the following pages.

State University of New York
State University Plaza
Albany, New York 12246
Office of the Senior Vice Chancellor
Division of Administrative Affairs

February 21, 1991

Mr. Roland M. Malan
Assistant Deputy Comptroller
Office of the State Comptroller
The State Office Building
Albany, New York 12236

Dear Mr. Malan:

In accordance with Section 170 of the Executive Law, we are enclosing the comments of State University Central Administration regarding the working draft audit report on Faculty Utilization, State University of New York (90-S-89).

Sincerely,

Harry K. Spindler
Senior Vice Chancellor
Division of Administrative Affairs

Enc.

SUNY'S RESPONSE TO OFFICE OF THE STATE COMPTROLLER'S DRAFT AUDIT REPORT ON FACULTY UTILIZATION (90-S-89)

Based on the data utilized by the audit, the answer to the question posed in the title of the audit is that **SUNY is highly efficient and effective in the use of faculty resources.**

- SUNY's enrollment has grown at a time when high school graduates have declined. SUNY now enrolls more students than anytime in its 64 campus history while faculty resources have declined relative to past levels and to comparable peers in New York and nationally.

- SUNY's average faculty teaching load equals or exceeds actual workload patterns and standards nationally (see pages 2 and 5 and tables).

- SUNY's faculty output goes well beyond teaching and provides research and service as additional benefits to the students and citizens of New York.

- SUNY as a system is about average in cost per student compared to national averages but spends less per student than public peers and considerably less than New York independent institutions, whose expenditure levels we are not calling into question.

The State University of New York is the largest comprehensive multi-campus system in the nation, but it is also one of the youngest, with its major period of growth and development taking place in the past 25 years. It is also one of the most diverse systems with programs ranging from one and two year technical programs to specialized doctoral and professional areas.

Because faculty resources have not kept pace with the increased enrollment, SUNY has had to manage its resources more carefully and effectively by allocating and reallocating faculty positions to meet the changing student demand while also providing an increased volume of non-state funded research.

In every comparison that is available to the auditors, SUNY out-performs the workload requirements stated by the auditors and yet the audit gives no indication that SUNY, in total or by individual campus, exceeds those workload levels.
(See State Comptroller's Note 1, Page A-23)

The audit further elaborates on three additional questions which we will address;

"How effective are SUNY's procedures for ensuring faculty are reasonably productive?" (Executive Summary, Audit Report)

The Board of Trustees of SUNY has stipulated in its policies that the professional responsibilities of the SUNY faculty are instruction, research and service. The proportion of time spent in each of these areas varies by the type of institution, the individual involved, and the area of specialty. **SUNY employs systems for monitoring instruction and research.** SUNY's Central Administration has employed the Course and Section Analysis (CASA) system for well over a decade to track the classroom instructional portion of these duties. The Research Foundation has procedures in place to track the research activities which are sponsored by external funds. While only tracking a portion of the faculty's time, these systems provide administrators with more information as to how faculty spend their time than is found for most other professions.

Nationally, a study of instructional faculty was completed in 1988 by the National Center for Educational Statistics. This survey found that the average professional commitment of full-time regular faculty was 46 hours per week. An additional 3 hours per week was spent providing unpaid professional services. Broad comparisons made between faculty surveyed in this study and SUNY faculty show that **SUNY faculty spend more time in formal instructional settings as measured by average number of classes taught than the national average. In another comparison using AAUP recommended teaching loads, the <u>average</u> contact hours of the SUNY faculty are 6% higher than a 12 hour recommended maximum and 41% higher than the 9 contact hour preferred standard.** (See tables 90/1151 and 91/120.)

(See State Comptroller's Note 1, Page A-23)

The State University of New York has avoided as counterproductive the formulation of a system-wide policy which would specify a set number of hours that a faculty member should spend in the classroom. Indeed such a policy would be very difficult to write because of the differing expectations and missions among the various campus types. Whereas instruction and instructional-related activities (preparation, evaluation, office hours, etc.) dominate the time of faculty at the Technical Colleges, the role of research figures more prominently in the professional responsibilities of the faculty at the University Centers - and while this is strongly related to instruction, it is a factor in the fewer number of hours spent in formal classroom instruction at these institutions. All campuses have their own workload policies in place. Some have been reduced to formal statement and expression, others follow long established campus practice. ***No campuses deploy faculty resources without administrative oversight.***

(See State Comptroller's Note 2, Page A-23)

Since the adoption of the "Taylor Law", the SUNY faculty have been represented through the collective bargaining process. Changes in several aspects of local working conditions are subject to collective bargaining. The imposition of a workload policy for faculty constituting a change in working conditions, would require negotiation through

the collective bargaining process. It should be noted that when policies in this regard have been developed at other institutions in the collective bargaining process, the workloads specified in the final contract are usually viewed as maximums not as ideals or standards. Any teaching hours in excess of the established standard typically require 'overload' pay or are grounds for grievance. Even according to the Comptroller's audit, over 57% of SUNY's full-time faculty had 12 or more contact hours which includes graduate instruction during the fall 1988 semester whereas the twelve hours standard used by the audit is the maximum expected load for undergraduate instruction alone.

(See State Comptroller's Note 3, Page A-23)

Another problem in implementing a workload policy with stated contact hours is the difference in the teaching methods best employed in each discipline. For example, individualized instruction may be required for a student majoring in a particular musical instrument, medium to large lectures might suffice for some of the social sciences, while a combination of lecture, discussion and laboratory instruction may be required in the physical sciences. Clinical instruction, which is a major element of the medical education mission of SUNY, is not included in the CASA reporting system and was not included in the audit. A differing number of contact hours could be viewed as a 'full' load in each of these situations. Factors to be considered include: 1) instructional methods employed, 2) instructional level (lower division, upper division, beginning or advanced graduate), 3) class size, 4) other than formal instructional duties (research, service, administration, etc.) and 5) the interaction of all these factors in a given instance. **Offering a quality education is a highly complex process that cannot be reduced to a single mandated number.**

(See State Comptroller's Note 4, Page A-23)

"How do SUNY Officials ensure that faculty are deployed in an efficient and effective manner?" (Executive Summary , Audit Report)

SUNY Central allocates resources to campuses and campuses administrators allocate faculty to meet student demand.

The student to faculty ratios found within the same disciplines at similar institution types within the SUNY system do have variances and they are to be expected. SUNY's Central Administration makes allocations for total staffing at a given institution based on a Benchmark system which includes a ten discipline, four level (i.e. 40 cell) faculty allocation model. The total number of positions thus derived are distributed at the campus by its administrators. Each of SUNY's institutions has areas in which it specializes that make each institution unique and prevents unnecessary program duplication within the system. Scarce resources, specialization of the personnel involved (one can't easily move a person from one academic discipline to another or from campus to campus), and changes in demand for various disciplines are all factors which enter into the local distribution of faculty and other resources. These decisions are best made by administrators close to the actual facts who understand all the interplays in effect. **SUNY**

campus administrators have made re-allocations of over 10,000 faculty positions from one major discipline area to another in the last fifteen years. Relatively stable overall student faculty ratios can mask substantial changes in specific discipline allocations.

Increasing efficiency has become a way of life for State University. Since 1975, the full-time equivalent positions in instruction at the CASA institutions has declined 9.9% while the workload assigned to these faculty has only declined 5.5% (see G90/24). Changes in staffing are not made frivolously as funds are limited and decisions must be lived with for a long time. Standard student to faculty ratios in a given discipline across all campuses of like type, could easily lead to uniform and mediocre results.

(See State Comptroller's Note 5, Page A-23)

"How do SUNY officials determine whether scheduled classes have sufficient enrollment to justify the cost?" (Executive Summary , Audit Report)

Granting that there may be instances where justification is not readily apparent for offering a class with a low enrollment, a look at a data system such as CASA does not always tell the full story on course offerings. At many campuses, faculty often provide instruction in courses with low enrollment as an overload without added compensation. Often specialized instruction is needed for students to complete degree requirements without undue delay. In other instances, low enrollment may be dictated because the course is remedial in nature and low faculty to student ratios are the best way to ensure success for the participants. The CASA system is already a very complex reporting tool; adding additional fields to further elaborate perceived variations from normal would be burdensome for the campus coordinators. All the permutations are best analyzed, as is present practice, at the campus level where individual cases are best understood. **Campuses work hard to balance effectiveness and efficiency in educational decisions.**

Major Issues Raised by the Audit

In reviewing and responding to specific audit issues, we have identified examples where the audit lacks appropriate methodology, misunderstands some data and makes selective use of data gathered by the auditors.

Need for Controls over Faculty Activities -(p. 4 of Audit Report)

Note should be taken that faculty, in general, are very dedicated individuals who take pride in their work. As mentioned earlier, they tend to work more than the normal 40 hour week during the school year. Most would be characterized as spending whatever time is needed to get a job done. Like most professionals, faculty work better to the theme of what is expected of them and what needs to be done rather than some single arbitrary standard. The audit would replace the University's effective collegial relationship amongst faculty with an antagonistic labor versus management model. The audit fails to realize that, to a very real extent, the faculty are the University, not just hired hands.

(See State Comptroller's Note 6, Page A-23)

The auditors state that "AAUP recommends a courseload of between 9 and 12 classroom hours per week". However, the 1984 edition of *AAUP Policy Document and Reports* states the **maximum** workload for undergraduate instruction should be twelve hours a week and to be effective, this should be nine hours a week. If graduate instruction is involved, the **maximum** decreases to nine hours with the preferred level of six hours. Full-time faculty at SUNY produce an **average** of 12.73 contact hours per person per term including graduate instruction. The auditors' data show that the majority of the faculty who have less than nine contact hours are found at institutions with large graduate student programs (and simultaneously, large research programs.)

The auditors also compare SUNY to the California State University System and to the Florida State University system. The following should be noted regarding these comparisons:

- The schools that comprise the California State University System are non-doctoral institutions and are comparable only to the University Colleges within the SUNY system and, therefore, are not appropriately compared to other SUNY campuses. No attempt was made to compare SUNY doctoral institutions to the doctoral institutions found within the separate University of California system.

- **Comparisons were made between stated policies in other systems and actual performance at SUNY.** A true comparison would entail getting actual data from these systems. As noted, in actual practice, deductions from the standard of 12

hours are allowed for number of class preparations, class size, instructional methods employed, research activity and administrative duties just as SUNY allows lighter course loads under similar conditions.

- The auditors did not take into consideration the diversity of the SUNY system. All comparisons were to standards for undergraduate education - typically that found at the bachelor's level. The University Centers have large graduate student populations and some graduate education is offered at the University Colleges.

- A single workload standard cannot be applied to a highly diverse system.

(See State Comptroller's Note 7, Page A-23)

Even though the comparisons between SUNY and these systems are lacking in validity, the data clearly demonstrates that a large proportion of SUNY's faculty exceeds the standards used.

The auditors incorrectly state that "at five of the six agricultural and technical colleges 5 percent of the faculty spent fewer than nine hours in the classroom"; in fact, at these five institutions the range of faculty with fewer than nine hours is from 0.7% to 2.8%. More importantly, faculty at the Colleges of Technology teach 5.4 classes as compared to the national average for two year colleges of 3.5 classes. **SUNY Colleges of Technology are very productive.**

(See State Comptroller's Note 8, Page A-24)

The implication made by the auditors seems to be that the only job function of faculty is to teach and that should be their full-time activity. The data clearly shows that the faculty are satisfactorily performing teaching duties by whatever standards are employed, and, additionally are providing the citizens of New York with research (much of which brings in added dollars to the state) and public service which includes non-credit instruction, serving on committees, delivery of services to business and industry and volunteer community work.

It is unfortunate that the audit focused mainly on the number of hours faculty spent in formal instruction without determining the effectiveness of the system. Outsiders have made note of the system. **This year's *Money's Guide to America's Best College Buys* listed ten SUNY schools among the top sixty institutions in the nation based on perceived value for the dollar. Thanks to SUNY alone, New York had more campuses in the top sixty than did any other state.**

(See State Comptroller's Note 9, Page A-24)

Monitoring of Non-Teaching Activities - (page 6 of Audit Report)

The auditors imply that when performance plans are not used, there is no way that any one can determine what constitutes satisfactory performance. While goals for each individual are not necessarily recorded on hard copy in a given file drawer, performance

expectations are in place. A typical example is when top administrators set specific institutional goals, then delegate to planning units and departments the setting of policies to achieve those goals. Within these smaller units, those responsible for carrying out the policies have a say in how to achieve the desired results. This participatory approach has been shown to be an effective management tool. It is important not to set up stringent rules to keep one or two individuals "in line" to the detriment of the morale of the rest of the faculty. It makes more sense to deal with such cases forthrightly on an individual basis. **SUNY faculty do more than teach, even though, if measured on teaching alone, they are very productive.**

It is unfortunate that the auditors chose to use a "judgmental" sample to make inferences about all faculty within the system. It seems that in this case, a judgmental sample consisted of finding which faculty had the least number of contact hours on a given campus and then placing the records of these individuals under scrutiny. The auditors reviewed the teaching load of approximately 1004 faculty at three campuses and chose from that list 36 faculty that taught less than 9 contact hours. Of the 36, the audit judged that 15 faculty did not have sufficient other duties to warrant a teaching load below 9 contact hours. From that "judgemental" sample (36 out of 1004 at three campuses) they then questioned administrative oversight at 34 campuses for over 9700 faculty. A more scientific query as to the effectiveness of faculty workload policies would be a **random** sample to identify faculty practices. We feel that in this instance, a truer picture of **actual practice** would emerge - the normal bell shaped curve where most individuals perform at a given rate with small deviations, a few at a much higher rate, and a few at a much smaller rate.

(See State Comptroller's Note 10, Page A-24)

Possible Inefficiencies in Faculty Deployment - (page 10 of Audit Report)

The intercampus summaries published each year for the SUNY campuses that participate in CASA are broken into ten main discipline areas along with an additional nine categories used for the Colleges of Technology and Agriculture. The broad discipline areas provide a method of grouping together several areas of knowledge having a thread of similarity in order to provide a manageable number of entities to use in analyses. It is important to understand that each college, even within the same grouping, is not a "cookie cutter" image of any other college within that grouping. Therefore, a discipline at one institution can be composed of highly specialized areas while at another institution, the same discipline may be composed primarily of survey type courses. Many statistics based on discipline are computed: number of full-time equivalent instructional positions, the amount of workload generated, student to faculty ratios, student and faculty contact hours and associated costs. This is done for a variety of aggregations including level of instruction, campus, campus type and system wide.

The auditors imply that the student to faculty ratios thus generated are ignored by every administrator within the system and that the variations they found were evidence of poor management. Through the benchmark system, faculty positions are allocated by the Central Administration based on the distribution of workload generated in each discipline by instructional level. A campus takes the allocations it receives and distributes them based on its particular mission and the resources it receives. In some areas, such as nursing, the requirements of the accreditation area specify a maximum student to faculty ratio that can not be exceeded.

The reasons for varying student faculty ratios include:

- Whether the discipline contains 'specialized' or just generalized instruction
- The amount of remedial instruction.
- Because of the discipline specialization, faculty are not easily interchanged to meet changing student demand.
- Whether available physical facilities limit class size.

Low student/faculty ratios are not necessarily bad, as implied by the audit. Low ratios can be a positive indication of quality; they can result from planned institutional priorities and program strengths; they do not automatically equate to dollar expenditures; and they do not necessarily imply inefficiency.

Administrators at SUNY Central and the campuses both agree that final allocations of faculty must be left to the discretion of campus administrators who are best aware of all the interplays involved in the final determination of student faculty ratios - and not to administrators at SUNY Central. To do otherwise would lead to micromanagement. The very last thing the faculty or the students of the State University need is intrusive and inflexible regulations from a remote bureaucracy. It is inefficient, costly and counter-productive to seek such administrative redundancy.

(See State Comptroller's Note 11, Page A-24)

Controls over Underenrolled Classes (p. 15 of Audit Report)

It is wrong to infer that campus administrators do not monitor class size based on the absence of a written policy in that regard. For example, Morrisville was cited for having a large number of classes with low enrollments. The administrators at Morrisville have stated that during the fall of 1988, they had two majors with low enrollments (and thus classes with low enrollments.) Since that time, these two programs have both been deactivated, producing clear evidence that class size is monitored.

A minimum class size policy could prevent a proliferation of small classes as long as it is not so rigid as to provide barriers to students needing specific courses. It is also important to note that if a class falls below a set limit at the last minute, it is not always possible to reassign the instructor or the students to another section or course.

Course and Section Analysis System (p. 22 of Audit Report)

The **C**ourse **A**nd **S**ection **A**nalysis (CASA) system contains an extensive amount of data about each meeting of every section of each course for those institutions that participate. The data is integrated with central files on personnel, building facilities, and accounting data from which a multitude of reports are produced on many facets of instruction.

The audit found that one set of reports, that which indicates number of sections taught by class size, did not accurately account for courses that are cross-listed, *i.e.*, taught at the same time by the same instructor. SUNY concurs with this finding. However, it will take some analysis to determine whether or not it is feasible to change the programming to compensate for this minor shortcoming. When the CASA files are initiated, and whenever updates are made to the file for each fall term, one of the reports generated and supplied to the campuses by the system lists all courses which meet at the same time and place and sets a warning flag. A common reason for courses meeting at the same time and place is when an undergraduate course is combined with a graduate course - usually with common course material but differing course requirements. To combine such courses for section size reports would cause some problem as where to put such a combination - with undergraduate courses or with graduate courses. This flag is set if the courses overlap even for 30 minutes out of three hours total. Determining what to do with all the permutations that can occur could cause more problems than just being aware that there are some concurrent courses separately listed in the section size report.

(See State Comptroller's Note 12, Page A-24)

SUNY's Response to Office of The Comptroller's Recommendations Concerning Faculty Utilization

While SUNY does not support every recommendation made by the audit, the recommendations are generally reasonable and reflect, to a great extent, current SUNY practice. A copy of the Provost's February 5, 1991 memorandum to Presidents is attached reflecting SUNY's comprehensive response to OSC's recommendations.

Recommendations:

OSC: *"Each campus should develop a formal courseload policy which includes the number of weekly contact hours of instruction full-time faculty are generally expected to provide per semester. The policies should include provisions for exceptions and require the formal approval of the appropriate campus administrators for each exception."*

SUNY:

- While most SUNY campuses already have in place prevailing practices or formal policies governing workload, SUNY Central is requiring that campus policies provide a description of the total professional obligations normally expected of full-time faculty members.

- The policies will also provide for methods of modifying expected responsibilities in one or more of the functions normally expected of full-time faculty members because of increased or reduced activities or assignments in other areas.

OSC: *"Each full-time faculty member should prepare an annual performance plan which addresses research, administrative and service activities, as well as instructional responsibilities, for the academic year. Campus administrators should closely review the performance plans of faculty with courseloads below standards."*

SUNY:

- While SUNY Central rejects the performance plan concept as unworkable in a collegial environment, it is requiring campus policies to include an annual report from all full-time faculty members covering their activities and accomplishments during the current year, foreshadowing plans for the following year, and review of these reports by appropriate academic officers.

OSC: *"Each full-time faculty member should prepare an annual summary of accomplishments which correspond to the activities contained in the performance plan."*

"Department chairpersons should review and approve performance plans at the beginning of the academic year and activity reports at the end of the academic year."

"Ensure that the campuses maintain activity files for all full-time faculty."

"Campuses administration should routinely determine whether additional classes should be assigned to faculty whose courseload and research, administrative and service activities appear underproductive."

SUNY:
- SUNY Central is requiring campus policies to include an annual report from all full-time faculty members that covers their activities and accomplishments during the current year and foreshadows plans for the following year, and review of these reports by appropriate academic officers.

OSC: *"Use CASA data to analyze and compare the student faculty ratios of the various disciplines among the campuses. Determine whether unusually low or high student/faculty ratios are justified and take action to correct the ratios when they are not justified."*

"Each campus should develop formal minimum class size standards, taking into account the discipline, the level of instruction, and other pertinent pedagogical factors."

"Require each campus to develop a formal mechanism to evaluate the propriety of offering courses or sections whose enrollments do not meet the minimum enrollment standards. Formal approval should be obtained from the appropriate administrators for each class offered which does not meet the minimum enrollment standards."

SUNY:
- SUNY Central and campuses already use CASA data and will continue to do so. SUNY Central is requiring campus policies to include periodic review of the justification for low enrollment courses that allows the continuation of essential courses yet assures the effective use of faculty resources.

OSC: *"Monitor small enrollments to determine whether the number of course offerings should be cut or faculty positions should be reallocated. Require the campuses to formally conduct the same type of monitoring."*

SUNY:
- SUNY Central is requiring campus policies to include periodic campus-wide assessment of faculty utilization to ensure an effective, efficient and equitable use of faculty to assist the campus in achieving its education

mission. The policies are to reflect the method of modifying expected responsibilities in one or more functions normally expected of full-time faculty members because of increased or reduced activities or assignments in other areas.

To the College at Cortland

OSC: *"Resume production of the annual course enrollment history report to identify course sections with patterns of low enrollment."*

SUNY:
- The program has been converted to run on Cortland's on-line system. Cortland now has new course history showing data for every semester and summer back to Fall 1968.

OSC: *"Consider consolidating low enrollment sections of courses offered by the Math/Computer Science Department."*

SUNY:
- Most of the low course enrollments in Mathematics resulted because the college was following, in practice, the intent of auditor's recommendation #8. That is, taking into account discipline, level of instruction, and other factors, a decision was made not to combine the sections. Math 119 (college algebra) is a remedial course, and to combine two classes of 18 and 11 to give a single section of 29 students--many of whom are struggling with the subject matter--is, in our opinion, pedagogically unsound.

(See State Comptroller's Note 13, Page A-24)

To the College at Plattsburgh

OSC: *"Formally assess the need for the seven specialty options within the biology major. Consolidate and eliminate courses where possible."*

SUNY:
- The college administrators are in strong agreement with the thrust of this recommendation. (In fact, the audit report acknowledges on p. 20 that the chairperson indicated that the department, even at that time, was considering programmatic reductions.) The departmental and administrative assessments of the number of study options in Biology will be completed and agreed upon by February 15, 1991. The number of study options will be reduced.

OSC: *"Verify that the courseloads of faculty involved with team teaching are presented accurately in CASA and other management reporting systems."*

SUNY: • The college administrators will take direct steps to ensure compliance with this recommendation.

OSC: *"Reprogram the CASA reports analyzing class size to accurately account for cross-listed and concurrent courses."*

SUNY: • The issue raised by the audit is very minor although the audit tries to indicate otherwise. CASA is already an extremely complex system that allows for a great deal of editing and data verification. SUNY Central will investigate the feasibility and relative value of doing the reprogramming.

(See State Comptroller's Note 12, Page A-24)

AVERAGE NUMBER OF CLASSES TAUGHT, FULL TIME SUNY FACULTY COMPARED TO PUBLIC INSTITUTIONS NATIONALLY

INSTITUTION TYPE AND SECTOR	AVG. NO OF CLASSES
SUNY UNIVERSITY CENTERS	2.35
NATIONAL PUBLIC RESEARCH INSTITUTIONS	1.82
NATIONAL PUBLIC DOCTORAL INSTITUTIONS	2.45
SUNY UNIVERSITY COLLEGES	3.74
NATIONAL PUBLIC COMPREHENSIVE	3.00
SUNY TECH/AGRIC. COLLEGES	5.38
NATIONAL PUBLIC TWO YEAR COLLEGES	3.53

NOTE EXCLUDES TUTORIAL INSTRUCTION

SOURCES NATIONAL DATA - 1988 NATIONAL SURVEY OF POSTSECONDARY FACULTY, NSOPF-88, NATIONAL CENTER FOR EDUCATION STATISTICS.
SUNY DATA - COURSE AND SECTION ANALYSIS (CASA)

90/1151
TA
NSOPF3
T18

CENTRAL ADMINISTRATION OFFICE OF
INSTITUTIONAL RESEARCH
STATE UNIVERSITY OF NEW YORK
AUGUST 24, 1990

Comparison of Weekly Faculty Contact Hours per Faculty
SUNY vs. AAUP Recommended Levels
(Cited by Audit)

State University of New York	WFCOH /FTE	AAUP Recommendations	
		Maximum	Preferred
Undergraduate Instruction only			
All Campuses	12.89	12	9
Centers	10.85	12	9
Colleges	12.41	12	9
Other	15.06	12	9
Colleges of Technology/Agr.	16.27	12	9
All Instruction	12.73		
All (With grad. instruction)	12.11	9	6
Centers	11.43	9	6
Colleges	12.43	9	6
Other	14.88	9	6
Colleges of Technology/Agr.	16.27	12	9

AAUP: A maximum workload would be "for undergraduate instruction, teaching load of twelve hours per week, with no more than six separate course preparations during the academic year. For instruction partly or entirely at the graduate level, a teaching load of nine hours per week." A preferable load would be: "For undergraduate instruction, a teaching load of nine hours per week. For instruction partly or completely at the graduate level, a teaching load of 6 hours per week."

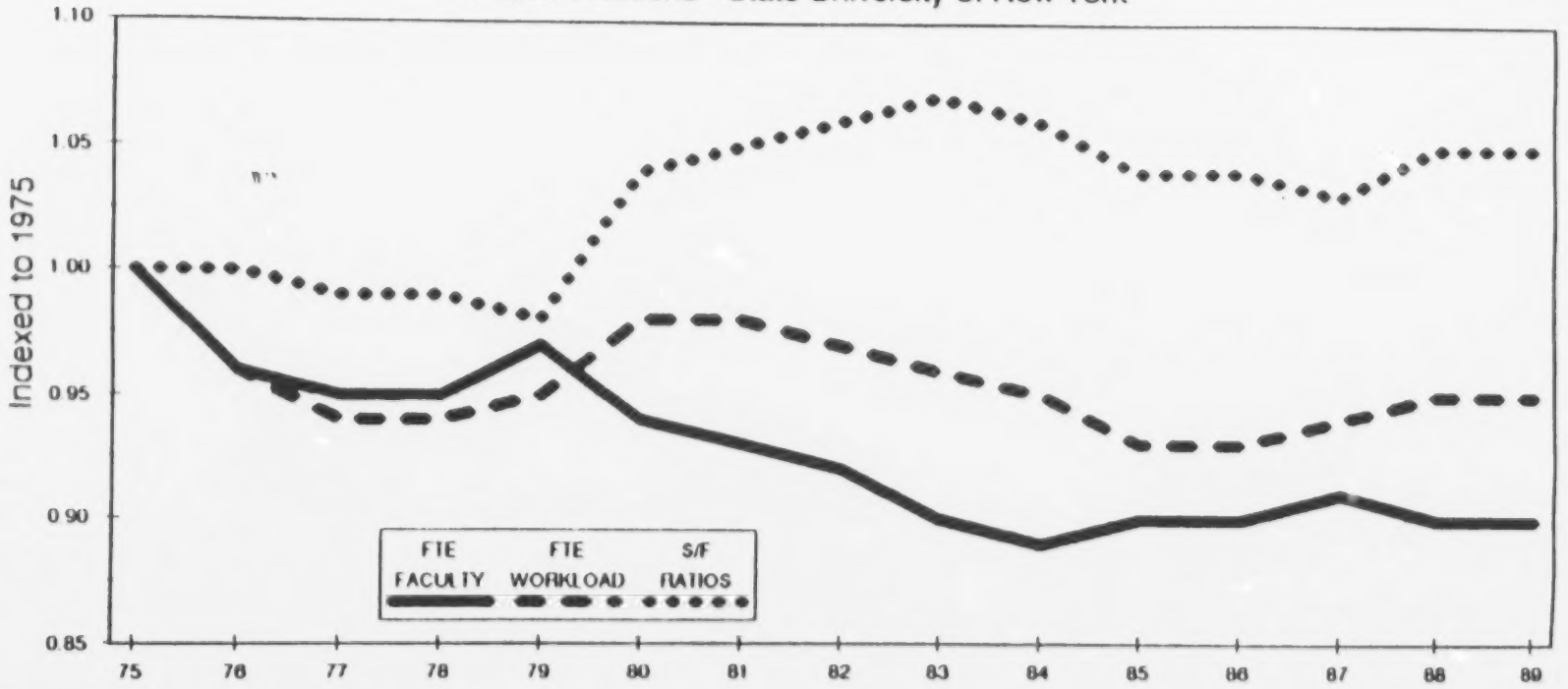
91/120
SEJ
February 1, 1991

Office of Institutional Research
Central Administration
State University of New York

Leading Indicators of Workload Generated

Fall 1975 to Fall 1989 -- Indexed to Fall 1975

CASA Institutions - State University of New York



Excludes Empire, all HSC's, Optometry, Vet. Med.

ACTUAL VALUES–

INDICATOR	1975	1977	1979	1981	1983	1985	1987	1989
FTE FACULTY	8,866	8,442	8,567	8,270	8,015	7,937	8,053	7,986
FTE WORKLOAD	165,512	156,351	157,467	161,987	159,666	153,774	154,890	156,484
S/F RATIO	18.67	18.52	18.38	19.59	19.92	19.38	19.23	19.60

NOTE: In a comparison made in 1985-86, SUNY's S/F ratio was 19.38 compared to an AAUP derived public average of 17.7.

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SEPTEMBER 26, 1990

OFFICE OF INSTITUTIONAL RESEARCH
CENTRAL ADMINISTRATION
STATE UNIVERSITY OF NEW YORK

State University of New York

Memorandum to Presidents

Date: February 5, 1991 Vol. 91 No. 1

From: Office of the Provost and Vice Chancellor for Academic Affairs

Subject: Campus Policies on Faculty Utilization

To: Presidents, State-operated Campuses

The State Comptroller is preparing a final audit report on faculty utilization at a representative group of State-operated campuses. The preliminary draft and audit recommendations that were sent to you for advice and comment, focused on the amount of time devoted to classroom instruction, on variations from the prevailing campus practice in faculty contact hours, and on the lack of formal policies on faculty utilization at some campuses.

The major recommendations in the preliminary report urged that all State-operated campuses should have the following in place:

- formal policies specifying the teaching responsibilities of faculty;
- specific standards on minimum class size;
- annual performance programs for full-time faculty members addressing instructional, research, service and administrative responsibilities;
- annual reports from individual faculty members on their activities and accomplishments; and
- systematic procedures for review of course loads, class size, and faculty reports by appropriate officers.

Our own data on faculty utilization and those from national sources, as illustrated in the attached table, show that the amount of teaching done by SUNY faculty compares favorably by institutional type with similar colleges and universities in the United States. These statistics indicate that: University Center faculty teach an average of two to three courses per week; University College faculty teach between three and four courses per week; and College of Technology faculty teach about five courses per week. These statistics represent the average number of classes per faculty by campus type. The precise number of courses taught by individual faculty members varies depending on responsibilities

for administration, research, creative and service activities, as well as on the type of classes and the number and level of students.

Though the auditors were aware of these favorable statistics on course loads, their preliminary report concentrated on unexplained variations from these averages for some faculty members and departments. The report also cited instances of low enrollment courses and sections that appeared to be taught frequently without adequate documentation of their justification.

We plan to respond fully to the audit's emphasis on individual exceptions rather than prevailing practices, but some of its findings do suggest the need for more formal campus policies on faculty utilization. Your reactions to the preliminary audit recommendations support this conclusion. We need to codify the prevailing practice on our campuses into more formal policies and to adopt more systematic procedures for ensuring an effective and equitable distribution of faculty responsibilities. These policies should continue to recognize the full range of faculty responsibilities for instruction, research and creative activities, and campus and community service. They should also incorporate appropriate variations among campuses.

No uniform policy on faculty utilization can work in a system as diverse as the State University of New York. Each SUNY campus needs a policy that reflects its institutional type, educational mission and unique character. The following guidelines set out the components required in a formal campus policy on faculty utilization. They reflect your comments and advice in response to the preliminary audit recommendations. They also allow for appropriate variations by campus type and mission, while assuring system accountability for faculty utilization.

Guidelines on Faculty Utilization Policy

Each campus policy on faculty utilization should include:

1. A statement recognizing that instruction, research or creative activities, and campus and community service are part of the normal responsibilities of full-time faculty members.

2. A description of the normal distribution of these responsibilities as part of the total professional obligation of full-time faculty. The description of instructional responsibilities should include, but not be limited to, classroom teaching as expressed by the contact hours, credit hours or course loads normally expected of full-time faculty members.

3. The method of modifying expected responsibilities in one or more of the functions normally expected of full-time faculty members because of increased or reduced activities or assignments in other areas.

4. Annual reports from all full-time faculty members that cover their activities and accomplishments during the current year and foreshadow plans for the following year, and review of these reports by appropriate academic officers.

5. Periodic review of the justification for low-enrollment courses that allows the continuation of essential courses yet assures the effective use of faculty resources.

6. Periodic campus-wide assessment of faculty utilization to ensure an effective, efficient and equitable use of faculty to assist the campus in achieving its educational mission.

The purpose of these guidelines is not to change existing workloads, but to formalize prevailing practices, to attest fairness on campus and within the System, and to enable each State-operated campus to demonstrate the effective utilization of its greatest resource–the faculty.

Each campus should send its draft policy on faculty utilization to my office for review and approval by June 1, 1991. Questions concerning these policy guidelines should be directed to me.

Joseph C. Burke

Attachment

This memorandum for information to:
Presidents, Community Colleges
Deans, Statutory Colleges
President Coll
Provost Nesheim

AVERAGE NUMBER OF CLASSES TAUGHT, FULL TIME SUNY FACULTY COMPARED TO PUBLIC INSTITUTIONS NATIONALLY

INSTITUTION TYPE AND SECTOR	AVG. NO OF CLASSES
SUNY UNIVERSITY CENTERS	2.35
NATIONAL PUBLIC RESEARCH INSTITUTIONS	1.82
NATIONAL PUBLIC DOCTORAL INSTITUTIONS	2.45
SUNY UNIVERSITY COLLEGES	3.74
NATIONAL PUBLIC COMPREHENSIVE	3.00
SUNY TECH/AGRIC. COLLEGES	5.38
NATIONAL PUBLIC TWO YEAR COLLEGES	3.53

NOTE: EXCLUDES TUTORIAL INSTRUCTION.

SOURCES: NATIONAL DATA - 1988 NATIONAL SURVEY OF POSTSECONDARY FACULTY, NSOPF-88, NATIONAL CENTER FOR EDUCATION STATISTICS.
SUNY DATA - COURSE AND SECTION ANALYSIS (CASA)

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State Comptroller's Notes To Agency Response

1. We acknowledge that, on average, SUNY faculty teaching workload equals or exceeds workload patterns and standards nationally. However, as identified in our report, there are a large number of exceptions (i.e. 22 percent of the faculty who spend less time than the workload standards prescribed). As stated in the February 5, 1991 letter to the presidents of the State-operated campuses from SUNY Central (see page A-19), there is a need for"... more formal policies and to adopt more systematic procedures for ensuring an effective and equitable distribution of faculty responsibilities." The letter requires each campus to establish a formal policy on faculty utilization conforming to specified guidelines. We support this approach.

2. This audit does not recommend that SUNY establish a system wide policy, but rather that each campus develop a formal courseload policy.

3. SUNY officials contend that workload standards are usually viewed as maximums and any teaching in excess of the standards would require 'overload' pay. However, we found that some systems, such as Florida State, view these workloads as minimums.

4. Contrary to the statement by SUNY officials, the audit report did not recommend that workload policies "be reduced to a single mandated number." Instead we recommended that each campus develop a workload policy. The specifics of the policy, such as contact hours, could be left up to each campus administration. Some campuses have already established formal workload standards based on the type and level of instruction. SUNY appears to have adopted this recommendation as set forth in a February 5,1991 letter to campus presidents (see page A-19).

5. SUNY officials have misconstrued the information and recommendation contained in the audit report. The report does not recommend that SUNY establish standard student to faculty ratios. The report recommended that SUNY carefully review those instances in which student to faculty ratios deviate significantly from the norm.

6. The establishment of a workload policy at each campus would not replace SUNY's collegial relationship with faculty as demonstrated by those campuses who already have formal workload standards.

7. The comparison was made because of the absence of formal courseload policies within the SUNY system. Also, contrary to SUNY's contention, the two systems used for comparison purposes have many similarities to SUNY campuses such as a large number of graduate stu-

dents and doctoral programs. Furthermore, our audit did not recommend a single workload standard but rather that each campus develop a courseload policy.

8. The report has been changed to reflect that at five of the six colleges less than three percent of the faculty taught fewer than nine contact hours a week.

9. The scope of our audit addressed the deployment and monitoring of faculty and not the overall effectiveness of the SUNY system. The subject of SUNY's overall effectiveness will be the topic of future audits.

10. Our conclusions regarding oversight of faculty were based not only on the reviews at the three campuses but also on the absence of formal policies and procedures at the majority of all the SUNY campuses. This lack of formal policies and procedures coupled with the examples identified leads us to question the adequacy of administrative oversight.

11. SUNY officials are addressing an issue which is not in the audit report. The report does not recommend the establishment of regulations. The report recommends that SUNY Central perform its' oversight role by reviewing student to faculty ratios to determine if they are justified.

Further, we don't believe that such a review of the annual allocation of about $500 million by SUNY Central constitutes intrusion by a "remote bureaucracy" as contended in SUNY's response. Instead, we view such insight as an important element of maintaining accountability for taxpayer resources. Although the reasons cited in SUNY's response for varying student faculty ratios appear to be reasonable and valid, there may also be variances which are not supported by these valid reasons. The point we want to make is that these variances need to be analyzed to determine whether or not they are appropriate.

12. The deficiency in CASA's class size frequency distribution report is not a minor issue. In fact, campus officials informed us that these reports could not be used to monitor underenrolled classes because of the problem addressed in the report.

13. SUNY provides an acceptable explanation for not consolidating the two sections of a remedial course. However, the other six courses with low enrollment as noted in the report were not remedial. SUNY provided no justification for not consolidating these courses.